

PATENT  
ATTORNEY DOCKET NO. 049923-5015-02

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: )  
William K. BURNS et al. )  
**Application No.: To be assigned** )  
**Divisional of Application No.: 10/143,885** )  
**Filed on May 14, 2002** ) MS Patent Application  
                                ) Group Art Unit: 2882  
Filed: June 27, 2003         ) Examiner: T. Artman  
For: BUFFER LAYER STRUCTURES FOR )  
    STABILIZATION OF A LITHIUM )  
    NIOBATE DEVICE             )

Commissioner for Patents  
U.S. Patent and Trademark Office  
2011 South Clark Place  
Customer Window  
Crystal Plaza Two, Lobby, Room 1B03  
Arlington, VA 22202

Sir:

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97(b)**

Pursuant to 37 C.F.R. §§ 1.56 and 1.97(b), Applicants bring to the attention of the Examiner the documents listed on the attached PTO-1449. This Information Disclosure Statement is being filed within three months of the filing date of the above-referenced application. The listed documents were previously cited and provided in copending parent Application No. 10/143,885, filed on May 14, 2002 and copending parent Application No. 10/035,193, filed on January 4, 2002, upon which Applicants rely for the benefits provided in 35

U.S.C. § 120. Thus, under 37 C.F.R. § 1.98(d), copies of the listed documents are not required to be provided.

Applicants respectfully request that the Examiner consider the listed documents and evidence that consideration by making appropriate notations on the attached PTO 1449 form.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that the listed documents are material or constitute "Prior Art." If it should be determined that any of the listed documents do not constitute "Prior Art" under United States law, Applicants reserve the right to present to the Office the relevant facts and law regarding the appropriate status of such document.

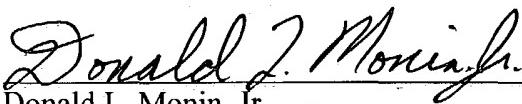
Applicants further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should any of the documents be applied against the claims of the present application.

If there is any fee due in connection with the filing of this Information Disclosure Statement, please charge the fee to our Deposit Account No. 50-0310.

Respectfully submitted,

**MORGAN, LEWIS & BOCKIUS LLP**

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Dated: June 25, 2003

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202-739-3001

**INFORMATION DISCLOSURE  
CITATION**

(Use several sheets if necessary)

Attorney Docket No:  
049923-5015-02Divisional of Application No.  
10/143,885

Applicant: William K. BURNS et al.

**PAGE 1 of 1**

PTO Form 1449

Filing Date: June 25, 2003

Group Art Unit: 2882 (anticipated)

**U.S. PATENT DOCUMENTS**

*Examiner Initial	Document Number	Date	Name	Class	Sub Class	Filing Date
	5,949,944	Sep. 7, 1999	Minford et al.	385	131	Oct. 2, 1997
	4,701,008	Oct. 20, 1987	Richard et al.	350	96.12	Aug. 10, 1984
	5,388,170	02/07/95	Heismann et al.	385	4	
	5,404,412	04/04/95	Seino et al.	385	2	
	5,949,944	09/07/99	Minford et al.	385	131	

**FOREIGN PATENT DOCUMENTS**

	Document Number	Date	Country	Class	Sub Class	Translation YES	Translation NO
	EP 0 554 593 A1	Aug. 11, 1993	EPO				
	EP 0 717 306 A1	Jun. 19, 1996	EPO				

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

	Wei-Ching Chung et al., "A Comparison of the Performance of LiNbO <sub>3</sub> Traveling-wave Phase Modulators with Various Dielectric Buffer Layers, Journal of Optical Communications 14 (1993) August, No. 4, Berlin, DE
	C.H. BULMER et al., "Pyroelectric Effects in LiNbO <sub>3</sub> Channel-Waveguide Devices," <i>Applied Physics Letters</i> , Vol. 48, No. 16, (April) 1986, pages 1036-1038.
	I. SAWASAKI et al., "Thermally Stabilized Z-cut Ti:LiNbO <sub>3</sub> Waveguide Switch," <i>Conference on Lasers and Electro-optics</i> , paper MF2, San Francisco, (June) 1986, pages 46-47.
	Perry SKEATH et al., "Novel Electrostatic Mechanism in the Thermal Instability of Z-cut LiNbO <sub>3</sub> Interferometers," <i>Applied Physics Letters</i> , Vol. 49, No. 19, (November) 1986, pages 1221-1223.
	G.K. GOPALAKRISHNAN et al., "Performance and Modeling of Broadband LiNbO <sub>3</sub> Traveling Wave Optical Intensity Modulators," <i>Journal of Lightwave Technology</i> , Vol. 12, No. 10, (October) 1994, pages 1807-1819.

Examiner	Date Considered
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Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.